ATTACHMENT G

Area Agency on Aging (AAA) Annual Procedures

AAA ASSESSMENT PROCESS

Each year DACS conducts an assessment of the AAAs to evaluate their performance and operations during the prior year. All AAAs are required to return a completed Self-Assessment Tool and the forms entitled **(a)** *Compliance Issues and Important Events,* **(b)** *AAA Initiatives, Best Practices and Program Highlights During 2004,* and **(c)** *AAA Evaluation of the Division of Aging and Community Services.* An electronic version has also been sent to AAA Directors. This Self-Assessment Tool was developed to reflect feedback from AAA directors and input from State administration staff.

DACS conducts a desk review of the required documentation for all 21 counties and an on-site assessment visit to seven counties every year. Each AAA will be subject to an on-site assessment every third year, unless circumstances warrant a timelier visit. Technical assistance and monitoring visits will continue annually and on an as-needed basis.

ANNUAL ASSESSMENT PROCESS – GENERAL GUIDELINES

PRE-VISIT ACTIVITIES:

1. The Assessment Team Leader will convene a pre-visit meeting of the DACS fiscal and programmatic staff who will participate in the on-site visit.

2. The team leader will confirm visit with the county AAA 2-3 days prior to the scheduled visit.

3. The team leader will copy materials to share with AAA staff (e.g. timeliness chart, service activity reports).

The agenda for the pre-visit meeting will include a review of materials returned from the AAA, as listed below:

- **Self-Assessment Tool:**
  Review and note any items which are in need of clarification, appear questionable, or present a problem.

- **Compliance Issues and Important Events:**
  This is a new form added to the Self-Assessment Tool for 2004. "Issues" includes compliance issues identified during the previous evaluation that have not yet been resolved or corrected and compliance issues resolved since the previous evaluation. Important events may include staff vacancies, no legal service provider, relocation of offices, major changes in funding, etc. that occurred since the last evaluation.

- **AAA Initiatives, Best Practices and Program Highlights:**
  "Best Practices" has been added to the previous "AAA Initiatives and Program Highlights" form. "Best Practices" and "Initiatives" may include particularly effective outreach methods to serve the targeted population, activities that generate outside resources; or other effective practices that the AAA is especially proud of that occurred during the past year.

  Note that AAAs have been providing information on initiatives they have been conducting for a number of years. We are interested in new initiatives undertaken during the last year.

- **Evaluation of State Agency:**
  Review comments made by AAAs.

The agenda for the pre-visit meeting will also include a review of in-house data, as delineated below.

- **Target Groups Identified in the APC:**
  Be familiar with unique groups identified by the AAA in their Area Plan Contract (APC).

- **Area Plan Contract Reporting Systems, Service/Population Analysis Report:**
  Review activity. Are percentages of target populations in line with census numbers?

- **Area Plan Contract Reporting System, Service/Cost Analysis Report:**
  Review APC System report by county and service for Units, Clients, Budget Expenditures and Unit & Client Costs. Highlight areas over/under 15% of projected levels.

- **Timeliness and Accuracy of Programmatic Reporting Requirements for Prior Year:**
  Note any areas in need of improvement.

- **Public Hearing:**
  Review information filed in the public hearing folder in regard to the public hearing held in prior year in order to discuss areas in need of improvement.

- **Monitoring:**
  Review monitoring reports from visits conducted during prior year for all programs monitored, including nutrition and note any significant recommendations made.

- **Correspondence:**
  Review correspondence folder to identify any additional issues during the prior year that may need to be discussed during the assessment visit.

ASSESSMENT VISIT

1. **Assessment Recommendations from Prior Contract Year**
   Review status of previous recommendations and any outstanding recommendations that continue to need to be addressed.

2. **Self-Assessment Tool**
   Review sections with AAA staff, discussing items that are in need of clarification, appear questionable, or present a problem.

   Each section (Administration, Planning etc.) will include a list of "Documents to be Reviewed." Area Agencies have been instructed to have this documentation available for review at the day of the visit (or upon our request). Ensure that documents support the responses within the tool.

3. **APC System Service/Cost Analysis Report**
   Review each service paying close attention to all variances in excess of 15% above or below projected levels. Keep in mind that AAAs should be instructed to provide the rational for variances in the APC.

   Review percentage of funding to the various services. Does the documentation support highest % of funds to those services?

   Review Unit Cost of Service to determine appropriateness of figures.

4. **Targeting Efforts**
   Utilizing both the Target Population Service Activity and the Target Groups Identified in the APC, review the targeting efforts of the AAA. Where applicable, discuss how the AAA defines and tracks unique groups (e.g., "seniors in crisis," "mildly disabled").

5. **Timeliness and Accuracy of Programmatic Reporting**
   Review any areas in need of improvement, i.e., why were so many IPS revisions submitted during the year. Determine if the division can be of assistance in improving any areas.

6. **Public Hearing**
   Review any issues or recommendations from the prior year's public hearing.

7. **Evaluation of State Agency**
   Be aware of any comments made and acknowledge any suggestions for improvement. Ask for specific examples for general comments.

8. **Best Practices, Initiatives, Other Notable Activities**
   Review the information provided by the AAA to discuss special initiatives or programs that could be replicated in other counties. Remember to look for new initiatives from prior year. Also, check the Executive Summary and Goals section of the APC to see if initiatives included in the plan were successful. If provided, review annual report submitted by AAA with any particular highlighted areas.

   Be sure to ask about non-taxonomy services overseen by the AAA that are not "reportable" to DACS.

9. **NJ EASE/ADRC**
   Discuss with the Executive Director their progress in coordinating with other agencies and with DACS' initiatives.

10. **Technical Assistance**
    Inquire as to any technical assistance needs.

11. **"Assessment Report"**
    Explain to the Executive Director that an "Assessment Report" will be issued in lieu of letters. A draft will be sent for them to review for accuracy before a final is issued.

POST-ASSESSMENT ACTIVITIES

1. The team leader will meet with assessment team members individually to review all documents and information related to the standards covered by that individual.

2. The team leader will compile the information.

3. As appropriate, the team leader will contact the AAA for clarification or additional information.

4. The team leader will prepare the draft assessment report within 20 workdays and submit to the Area Agency on Aging Administrator for review.

5. The team leader will send approved draft assessment report to AAA Executive Director for his or her review. Allow 20 business working days for Executive Director to respond. As appropriate, discuss concerns and comments with the Executive Director.

6. The Assistant Commissioner will send the final assessment report to contracting authority with a copy to the Executive Director and others as specified by the Executive Director. Within 20 business working days of receiving the final assessment report, the Executive Director should submit the final corrective action plans to DACS.

7. The Area Agency on Aging Administrator will review corrective action plans. If all findings have been appropriately addressed, send closure letter to Executive Director with a copy to the contracting authority and others, as directed by the Executive Director.

AAA Evaluator: _____   **2004 AAA DOCUMENTATION ASSESSMENT REVIEW**   **Date: _____**

The standards below apply to the "Area Agency on Aging 2004 Performance Standards." As you review documentation for each standard, please **circle** or **handwrite** in the documentation you reviewed. Upon completing the documentation, place your rating in the indicated column. Should your rating for that standard **differ** from the AAA rating, please **write** a short justification as to why the rating differs. This justification may be included in the final report.

Administrative Structure

Goal: To ensure that the AAA has met their responsibility to plan, provide and coordinate multifaceted systems of support services. Directors and staff work together to fulfill the AAA Mission.

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. Personnel resources are effective to meet APC objectives. This includes an adequate infrastructure to serve as a platform for future enhancements of support for family caregivers and individuals in need.		Organizational Chart, Staff Roster, Budget and Business Plan		
2. All budgeted staff positions were filled in 2004.		Verification of hiring dates and Organizational Chart		
3. The Policies and Procedures Manual was updated in 2004 and contains all pertinent policies and procedures.		Policies and Procedures Manual		
4. The AAA obtained fully executed Contracts by April 1, 2004.		Executed Contracts and Letters of Intent to Fund		
5. The AAA submitted timely contract amendment requests for approval by DACS, per PM 91-10, III-5.		DACS Amendment file and 2004 APC		
6. The AAA submitted requests for all proprietary, direct service and priority service waivers for the next 3 year area plan cycle.		Waiver requests, waiver file and Service Delivery System		
7. The AAA submitted revised IPS forms to DACS no later than 11/15/04.		State Records		
8. DACS received the AAA's Area Plan Contract by October 15, 2004.		DACS log book		

Administrative Structure

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
9. The AAA ensured that administrative and professional staff received job-related training.		Training file, Policy and Procedures		
10. Newly hired care managers completed the 7 day Core Care Management Training.		Training Log, NJ EASE training list and Hiring Dates		
11. I&A staff completed the 3 day basic I &A training.		Training log and NJ EASE training list		
12. The Director's salary is proportionately distributed according to the % of time spent administering to aging services.		Administration Budget and Organizational Chart		
13. The Executive Director had the authority to fulfill the role of director in 2004 as per the federal statute.		Job Descriptions and Organizational Chart		
14. The Director had full authority to award contracts to prospective service providers.		Contracting Policy and RFP Procedures		
15. The Director exercised authority to nominate Advisory Council members according to Older Americans Act requirements.		Nomination letters, Resolutions and Council Minutes		
16. The Director attended all DACS AAA Executive Directors Meetings.		Attendance Records		
17. The AAA ensured that the county record retention policy is in line with the State's recommendation; Fiscal: 3 years from the acceptance of the final expenditure report; Program: 3 years from the close of the case.		Record Retention Policy		

Score:

Planning/Program Development

Goal: The AAA leverages other resources, develops partnerships with local service providers and others. Supports critical needs, identifies and expands successful services and helps evaluate the programs to guide it's future direction.

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. I&A results were documented in 2004 and results were incorporated into the planning process.		Record of calls, identified gaps, new programs and Priority Needs Assessment		
2. The AAA articulates and works by a set of goals, objectives and strategies that accurately reflects Area Agency activities consistent with the AAA mission, vision and values.		Area Plan Contract Strategic Plan, Mission and Vision Statement		
3. The AAA effectively uses Advisory Committees, Forums and Focus Groups and solicits comments from the public on the needs of older adults and caregivers in planning efforts.		Advisory Council Minutes, Forum and Focus Group Summaries, Public Hearing Announcements, Attendance Sheets and Meeting Minutes		
4. AAA has a fully functioning Advisory Council and meets on a regularly scheduled basis.		Advisory Council Meeting Minutes and Committee Roster		
5. Advisory Council membership is comprised of individuals who are representative of the required background according to the Older Americans Act (individuals eligible for service, reps from non-profit agencies, veterans, minorities etc...).		Membership Profile		
6. AAA knows and documents the unmet need of individuals and family caregivers for the purpose of planning and program development.		Waiting Lists, Public Hearing minutes, Focus Group Reports, Surveys, Needs Assessments and Records of Calls		
7. AAA Actively solicits consumer input in development and review of area needs and applies gathered information to set and pursue goals.		Waiting Lists, Public Hearing Minutes, Focus Group Reports, Surveys and Needs Assessments		

Planning/Program Development

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
8. The AAA looks for creative ways to meet the needs of older adults.		Program Scope of Services, Client records and New Program Initiatives.		
9. The AAA established partnerships with public and private organizations to address the needs of older adults.		Meeting Minutes, Letters of Support, Mailing Lists to public and private agencies.		
10. The AAA Identified and outreached to underserved and isolated populations in the county.		Documented Outreach Efforts, Outreach Statistics and Case Records of Outreached Customers		
11. The AAA analyzed 2004 service utilization data to ensure that the "target" populations were served proportionately to county demographics.		Compare county demographics with actual Service Statistics		
12. The AAA coordinated care management services with the APS provider.		Case Records and Case Conference Meetings		
13. The AAA supported grantees in their efforts to seek additional funding sources for programs.		Technical Assistance, Monitoring Reports and Letters of Support		
14. A minimum of one programmatic monitoring was conducted for each directly provided and subcontracted services.		Program/Fiscal Monitoring Reports		
15. The AAA ensured that contracted services followed Service Taxonomy and State Program standards.		Contracts, Scope of Service and Monitoring Reports		

Score:

Customer Accessibility

Goal: The AAA is easy to use and access, easily identified, and provides accurate, consistent information assuring confidentiality to all who enter.

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. The AAA is conveniently located and accessible by public transportation.		County Map		
2. The AAA provided reasonable access to services for disabled or frail customers (location/building structure).		Building Accessibility and Home Visits		
3. The AAA marketed and identified themselves as the "NJEASE" site and the statewide toll-free number was included in marketing efforts.		Written Publications, NJEASE toll-free number on web page and I&A Protocols		
4. Web Page provides pertinent information about the available programs and services and is user friendly.		Web Page, Website content and structure		
5. The AAA provides bilingual services.		Staff Qualifications and Language Line		
6. Focal Point locations were designated throughout the county for those persons unable to go directly to the AAA office.		Area Plan Contract, Interagency Agreements and Access Sites		
7. The AAA ensured that I&A/Outreach services were consistent at each focal point location.		I&A Meetings and Memos and I&A/Outreach Procedures		
8. NJEASE network staff utilized the CAT to assess consumer needs.		Case Records and Monitoring Reports		
9. A confidential area within the AAA office was available to interview walk-in customers.		Office Space		
			Score:	

Cultural Competency

Goal: Programs and services are designed to reach the target population and serve all races and ethnic groups. Services and supports are effectively and efficiently implemented in accordance with each participant's unique needs and expressed preferences.

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. The AAA makes an effort to include minority service providers in the RFP Process.		RFP Distribution List, RFP Request List and Technical Assistance Documentation		
2. The AAA has the ability to meet their targeting goals and specify outreach to the target population.		APC; Quarterly Stats and County Demographics for Target Population		
3. The AAA establishes methods to collect and utilize accurate demographic and cultural data for racial and ethnic groups in the service area, and become informed about the ethnic/cultural needs, resources and assets of the surrounding community.		Focus Group Reports, Consumer Surveys, Community Needs Assessments and established Committees/Partnerships with represented communities		

Score:

Quality Assurance

Goal: To objectively evaluate internal/external processes and services against applicable program descriptions. AAA has standards and procedures for continual quality improvement.

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. AAA undertakes activities designed to improve the performance of service providers.		Quality Assurance Plans and Procedures, Technical Assistant Training, Records and Monitoring Reports		
2. AAA utilizes data and quality information to engage in actions that lead to continuous improvement in their programs.		Quality Satisfaction Summary, Service Data Reports and new Program Scope of Services		
3. Solicits comments from the public on the needs of older adults and caregivers and uses input to provide information for advocacy and planning efforts.		Public Hearing Minutes and Needs Assessment		
4. Participants are satisfied with their services and desired outcomes are achieved.		Customer Satisfaction Surveys		
5. The AAA shared their written grievance procedure for those persons denied service or dissatisfied with the service with all clients.		Written Grievance Procedure on file and adapted for distribution and posting at AAA, Focal Points and Service Provider locations		
6. The grievance procedure contained a non-intimidating process to file a grievance and an impartial group to review the grievance.		Grievance Procedure		
7. The AAA supplies information in a timely manner and resolves concerns, complaints and/or problems on behalf of older adults and caregivers.		Record of consumer letters file and State consumer referral file		
			Score:	

Service Delivery

Goal: To provide a wide variety of services that meet the needs of the counties target population and are in line with funding objectives.

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. Ensures effective stewardship of grant funds in order to reach the maximum number of older adult consumers as possible.		Reports and Data Analysis Summary		
2. The AAA identifies and coordinates services based on the changing needs of the service recipients.		Program Rosters and Client Records		

Score:

Fiscal Accountability

Goal: To ensure that the AAA is in compliance with all State and Federal regulation regarding the administration of funds granted through the Area Plan Contract.

Staffing:

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. The AAA had a full time functioning fiscal person in 2004 assigned to AAA fiscal operations.		Hiring Dates and Organizational Charts		

Score:

Fiscal Accountability

Policies and Procedures:

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. The AAA assured that staff responsible for handling money was bonded.		Bonding Agreement and County Fiscal Policy		
2. AAA has a policy regarding the collection, recording and depositing of funds including but not limited to checks from the state, client contributions, private donations, etc.		County Fiscal Policy		
3. AAA maintained a project income ledger.		Income Ledger		
			Score:	

Monitoring-Test Sample-the Greater of 5 or 10% of Grantees:

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. AAA fiscal staff conducted a minimum of one fiscal monitoring of all directly provided services and one fiscal monitoring visit for subcontracted services during the year.		Fiscal Monitoring Report		
2. AAA followed up on all findings identified in the monitoring visit.		Fiscal Monitoring Report		
3. Service provider client contributions were monitored to ensure fiscal accountability and compliance with established policy.		Fiscal Monitoring Report		
			Score:	

Fiscal Accountability

Reporting-Test Sample-the Greater of 5 or 10% of Grantees:

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. Fiscal and program reports were accurate and submitted on time to the Division of Aging and Community Services.		State Review of Submitted Reports		
2. AAA fiscal staff prepared and maintained all financial records.		Site Review of Fiscal Records		
3. Reports on file at the AAA match reports submitted to the DACS. (Compare database reports to reports on file at AAA)		Site Review of Fiscal Records and State Database Reports		
4. AAA fiscal staff prepared the consolidated analysis in conjunction with database reports submitted to the DACS. (Compare database reports to reports on file at AAA)		Consolidated Analysis and State Database Reports		

Score:

System-Test Sample-10:

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. Cash disbursements and receipts are recorded in a ledger and are reconciled to bank statements on a regular basis.		Receipts and Disbursements Ledgers		
2. Cash disbursements have proper back-up documentation.		Backup Documentation		
3. Cash receipts have proper back-up documentation and are deposited within established timeframes.		Backup Documentation and County Fiscal Policy regarding the depositing of funds		
4. Travel records were properly documented and verified prior to payment.		Travel Documentation and County Travel Policy		

Score:

Fiscal Accountability

Inventory-Test Sample-5 Items:

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. Equipment purchases and disposals were followed in accordance with PM95-15.		Site Review of Property Records and Site Review of Inventory Lists		
2. The AAA maintained current inventory records.		Site Review of Inventory Lists		
3. Proceeds from property sold or traded were applied against current program expenditures.		Fiscal Records and Inventory Records		
			Score:	

Grant Requirements-Test Sample-the greater of 5 or 10% of Grantees:

Standard	AAA Rating	Indicator	Reviewer's Rating	Rating Justification (if different from AAA's Rating)
1. AAA met Division requirements regarding match and maintenance of effort per PM 2004-7, III-4.		State Database Reports		
2. Administrative allocation is within Division limits (10%-Title III, 10%-SSBG and 8%-SHTP).		State Database Reports		
3. AAA was within the 8% carry-over limit.		State Database Reports		
4. AAA completed close outs for all sub-grantees.		AAA Closeout Letters		
5. AAA revised reports to the DACS in accordance with final close out of sub-grantees.		AAA Closeout Letters and State Database Reports		
			Score:	

Total State Assessment Score: